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PATENT, TRADEMARK OFFICE

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## UTILITY PATENT APPLICATION AND FEE TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. MICR0201

Date: February 6, 2001

Inventor(s): Justin D. Brown, John W. Smith, Craig A. Link, Hoon Im, and Charles H. Barry  
 Title: DISTRIBUTED LOAD BALANCING FOR SINGLE ENTRY-POINT SYSTEMS

FULL NAME OF FIRST NAMED INVENTOR: Justin D. Brown COUNTRY OF CITIZENSHIP: US  
 RESIDENCE ADDRESS OF INVENTOR: 5224 12th Avenue NE, Seattle, Washington 98105

FULL NAME OF SECOND NAMED INVENTOR: John W. Smith COUNTRY OF CITIZENSHIP: Canada  
 RESIDENCE ADDRESS OF INVENTOR: 117 Galer Street, Seattle, Washington 98109

FULL NAME OF THIRD NAMED INVENTOR: Craig A. Link COUNTRY OF CITIZENSHIP: US  
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FULL NAME OF FOURTH NAMED INVENTOR: Hoon Im COUNTRY OF CITIZENSHIP: US  
 RESIDENCE ADDRESS OF INVENTOR: 993 Asilomar Terrace #4, Sunnyvale, California 94086

FULL NAME OF FIFTH NAMED INVENTOR: Charles H. Barry COUNTRY OF CITIZENSHIP: US  
 RESIDENCE ADDRESS OF INVENTOR: 9210 157th Place NE, Redmond, Washington 98052

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
 Box Patent Application  
 Washington, DC 20231

1. ☒ Fee Transmittal (BELOW) See 37 C.F.R. § 1.27.  
 2. ☐ Applicant claims small entity status. See 37 C.F.R. § 1.27.  
 3. ☒ Specification [Total Pages 32]  
 4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6] [FORMAL]  
 5. ☒ Oath or Declaration [Total Pages 3] (2 ORIGINAL DOCUMENTS)  
 6. ☐ a. ☒ Newly executed (original or copy)  
 7. ☐ b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 17 completed) [Note Item 5 below]  
 8. ☐ ii. **DELETION OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).  
 9. ☐ Application Data Sheet. See 37 C.F.R. § 1.76  
 10. ☐ CD-ROM or CD-R in duplicated, large table or Computer Program (Appendix)  
 11. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)  
 12. ☐ a. ☐ Computer Readable Form (CRF)  
 13. ☐ b. ☐ Specification Sequence Listing on: ☐ i. CD-ROM or CD-R (2 copies); or ☐ ii. Paper  
 14. ☐ c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s)) (2 ORIGINAL DOCUMENTS, 2 COVER SHEETS)  
 10. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) Power of Attorney  
 11. ☐ English Translation Document (if applicable)  
 12. ☐ Information Disclosure Statement (IDS)/PTO-1449          Copies of IDS Citations  
 13. ☐ Preliminary Amendment  
 14. ☒ Return Receipt Postcard (MPEP 503) (Should be itemized specifically)  
 15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)  
 16. ☒ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.  
 17. ☐ Other:

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:  
 Continuation ☐ Divisional ☐ Continuation-in-part (CIP) ☐ of prior application No:           
 Prior application information: Examiner:          Group / Art Unit:

For CONTINUATION OR DIVISIONAL APPLICATIONS only: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

Correspondence address below:

Ronald M. Anderson  
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600 - 108th Avenue N.E., Suite 507  
Bellevue, WA 98004

Telephone: 425-688-8816

Facsimile: 425-646-6314

FEE TRANSMITTAL																																																			
METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																	
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number <u>01-1940</u> Deposit Account Name: <u>Law Offices of Ronald M. Anderson</u> <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 & 1.17 <input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance 2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check (No. <u>4934</u> ) Money Order <input type="checkbox"/> Other <input type="checkbox"/> Payment NOT Enclosed:		3. ADDITIONAL FEES (Continued)  <table border="1"> <thead> <tr> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>Extension for reply within first month</td><td></td></tr> <tr><td>Extension for reply within second month</td><td></td></tr> <tr><td>Extension for reply within third month</td><td></td></tr> <tr><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>Notice of Appeal</td><td></td></tr> <tr><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>Request for oral hearing</td><td></td></tr> <tr><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>Design issue fee</td><td></td></tr> <tr><td>Plant issue fee</td><td></td></tr> <tr><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>Submission of Information Disclosure Statement</td><td></td></tr> <tr><td>Recording each patent assignment per property (times number of properties)</td><td>80</td></tr> <tr><td>Submission after final rejection (37 C.F.R. 1.129(a))</td><td></td></tr> <tr><td>Add'l invention to be examined (37 C.F.R. 1.129(b))</td><td></td></tr> <tr><td>Other fee (specify)</td><td></td></tr> <tr> <td><b>SUBTOTAL (3)</b></td> <td><b>\$ 80</b></td> </tr> </tbody> </table>		Fee Description	Fee Paid	Requesting publication of SIR after Examiner action		Extension for reply within first month		Extension for reply within second month		Extension for reply within third month		Extension for reply within fourth month		Extension for reply within fifth month		Notice of Appeal		Filing a brief in support of an appeal		Request for oral hearing		Petition to institute a public use proceeding		Petition to revive - unavoidable		Petition to revive - unintentional		Utility issue fee (or reissue)		Design issue fee		Plant issue fee		Petitions to the Commissioner		Petitions related to provisional applications		Submission of Information Disclosure Statement		Recording each patent assignment per property (times number of properties)	80	Submission after final rejection (37 C.F.R. 1.129(a))		Add'l invention to be examined (37 C.F.R. 1.129(b))		Other fee (specify)		<b>SUBTOTAL (3)</b>	<b>\$ 80</b>
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Independent Claims	4 - 3 = 1 x	\$80 =	\$ 40																																																
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Non-English specification																																																			
Request for reexamination																																																			
Requesting publication of SIR after Examiner action																																																			
<b>TOTAL FEES ENCLOSED: \$ 1118</b>																																																			

Typed/Printed Name Ronald M. AndersonSignature Ron AndersonRegistration Number: 28,829Date: February 6, 2001

## EXPRESS MAIL CERTIFICATE

Express Mail Label No. EI.542941683USDate of Deposit: February 6, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

KATHY PAULINO

(Name of person mailing paper/fee)

Kathy Paulino  
(Signature of person mailing paper or fee)

<b>REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>		First Named Inventor	Justin D. Brown et al.
		Title	DISTRIBUTED LOAD BALANCING FOR SINGLE ENTRY- POINT SYSTEMS
		Attorney Docket Number	MICR0201

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

February 6, 2001  
Date

*Ron Anderson*  
Ronald M. Anderson, Registration No. 28,829

This request must be signed in compliance with 37 C.F.R. 1.33(b) and submitted with the application **upon filing.**

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).

**Burden Hour Statement:** This collection of information is required by 37 C.F.R. 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 C.F.R. 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington DC 20231.